

FORM-PTO-1390  
(Rev. 9-2001)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

019952-167

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

09/937,062

INTERNATIONAL APPLICATION NO.  
PCT/JP01/01718INTERNATIONAL FILING DATE  
6 March 2001

PRIORITY DATE CLAIMED

## TITLE OF INVENTION

Implantable Electrode Lead and Implantable Medical Instrument Using the Implantable Electrode Lead

## APPLICANT(S) FOR DO/EO/US

Katsuhiko SHIRAKAWA et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

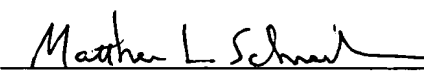
11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

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U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5) <b>09/937,062</b>	INTERNATIONAL APPLICATION NO. <b>PCT/JP01/01718</b>	ATTORNEY'S DOCKET NUMBER <b>019952-167</b>
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21. <input checked="" type="checkbox"/> The following fees are submitted:				<b>CALCULATIONS</b>	PTO USE ONLY																
<b>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</b>  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1,040.00 (960)  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$890.00 (970)  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$740.00 (958)  International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$710.00 (956)  International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00 (962)																					
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>																					
Surcharge of \$130.00 (154) for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)). 20 <input type="checkbox"/> 30 <input type="checkbox"/>				\$ 0.00																	
<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:20%;">Claims</th> <th style="width:20%;">Number Filed</th> <th style="width:20%;">Number Extra</th> <th style="width:20%;">Rate</th> </tr> </thead> <tbody> <tr> <td>Total Claims</td> <td>16 -20 =</td> <td>0</td> <td>X\$18.00 (966)</td> </tr> <tr> <td>Independent Claims</td> <td>2 -3 =</td> <td>0</td> <td>X\$84.00 (964)</td> </tr> <tr> <td colspan="3">Multiple dependent claim(s) (if applicable)</td> <td>+ \$280.00 (968)</td> </tr> </tbody> </table>				Claims	Number Filed	Number Extra	Rate	Total Claims	16 -20 =	0	X\$18.00 (966)	Independent Claims	2 -3 =	0	X\$84.00 (964)	Multiple dependent claim(s) (if applicable)			+ \$280.00 (968)	\$ 130.00	
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Multiple dependent claim(s) (if applicable)			+ \$280.00 (968)																		
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 0.00																	
Reduction for 1/2 for filing by small entity, if applicable (see below). +				\$ 0.00	-																
<b>SUBTOTAL =</b>				\$ 130.00																	
Processing fee of \$130.00 (156) for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492(f)). 20 <input type="checkbox"/> 30 <input type="checkbox"/> +				\$ 0.00																	
<b>TOTAL NATIONAL FEE =</b>				\$ 130.00																	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 (581) per property +				\$ 0.00																	
<b>TOTAL FEES ENCLOSED =</b>				\$ 130.00																	
				<b>Amount to be refunded:</b>	\$																
				<b>charged:</b>	\$																
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>a. <input type="checkbox"/> Small entity status is hereby claimed.</p> <p>b. <input checked="" type="checkbox"/> A check in the amount of \$ <u>130.00</u> to cover the above fees is enclosed.</p> <p>c. <input type="checkbox"/> Please charge my Deposit Account No. <u>02-4800</u> in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>d. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>02-4800</u>. A duplicate copy of this sheet is enclosed.</p> <p><b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b></p> </div> <div style="width: 45%;"> <p>SEND ALL CORRESPONDENCE TO:</p> <p>Platon N. Mandros, Esquire            BURNS, DOANE, SWECKER &amp; MATHIS, L.L.P.            P.O. Box 1404            Alexandria, Virginia 22313-1404            (703) 836-6620</p> </div> </div>																					
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p style="text-align: center;">             SIGNATURE         </p> <p>           Matthew L. Schneider            NAME         </p> </div> <div style="width: 45%;"> <p style="text-align: center;"> <u>32,814</u>            REGISTRATION NUMBER         </p> <p style="text-align: center;"> <u>January 29, 2002</u>            DATE         </p> </div> </div>																					